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PTO/SB/29 (12/97)

Approved for use through 09/30/00. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

OMB control number.

JCS39 U.S. PTO

UTILITY  
PATENT APPLICATION  
TRANSMITTAL(Only for new nonprovisional applications under 37 CFR  
1.53(b))Attorney Docket  
No.

10701-010-999

Total Pages

68

First Named Inventor or Application Identifier

Stephen C. Suffin et al.

Express Mail Label  
No.

EL 501 639 221 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application  
contents.

Patents

Assistant Commissioner for

ADDRESS TO: Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form and Request for Continuation Application  
Submit an original, and a duplicate for fee processing)
2. ☒ Specification [Total Pages 8]  
(preferred arrangement set forth below)
- Descriptive title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R&D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description of the Invention (including drawings, if filed)
  - Claim(s)
  - Abstract of the Disclosure
3. ☒ Drawing(s) (35 USC 113) [Total Sheets 0]
4. ☒ Oath or Declaration [Total Sheets 2]
- a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)  
[Note Box 5 below]
  - i. ☐ DELETION OF INVENTORS(S)  
Signed statement attached deleting inventor(s) named in the  
prior application, see 37 CFR 1.63(d)(2) and 1.33 (b).
5. ☐ Incorporation By Reference (useable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy of  
the oath or declaration is supplied under Box 4b, is considered as  
being part of the disclosure of the accompanying application and is  
hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. ☐ Nucleotide and/or Amino Acid Sequence  
Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Copy
  - b. ☐ Paper Copy (identical to computer copy)
  - c. ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

8. ☒ Assignment Papers (cover sheet & document(s))  
(Copy from prior application)
9. ☒ 37 CFR 3.73(b) Statement ☒ Power of Attorney  
(when there is an assignee) (copy from prior  
application)
10. ☐ English Translation Document (if applicable)
11. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS  
Citations
12. ☒ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
14. ☒ Applicant claims Small Entity status, see 37 C.F.R. §  
1.27
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☒ Other:  
Petition for Extension of Time (app. 09/148,591)  
Substitute Specification  
Substitute Specification - mark-up

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:  
☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: 09/148,591 filed September 4, 1998.

## 18. CORRESPONDENCE ADDRESS

Customer Number: 20583

  
(Insert Customer No. or Attach bar code label  
here)or ☐ Correspondence address below

NAME				
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Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case.  
Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and  
Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant  
Commissioner for Patents, Box Patent Application, Washington, DC 20231.

Express Mail No.: EL 501 639 221 US**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**Prior application: Examiner Susanna Meinecke-DiazArt Unit 2765Assistant Commissioner for Patents  
Box PATENT APPLICATION  
Washington, D.C. 20231

Sir:

This is a request for filing a ☒ continuation ☐ divisional application under 37 CFR § 1.53(b), of  
 pending prior application no. 09/148,591 filed on September 4, 1998 of Stephen C. Suffin, Sherman Oaks,  
California; and W. Hamlin Emory, Malibu, California  
 (inventor(s) currently of record in prior application)

for EEG PREDICTION METHOD FOR MEDICATION RESPONSE  
 (title of invention)

1. ☒ The filing fee is calculated below:

**PATENT APPLICATION FEE VALUE**

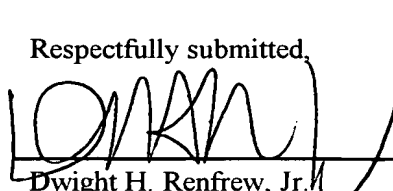
TYPE	NO. FILED	LESS	EXTRA	EXTRA RATE	FEE
Total Claims	11	-20	0	\$18.00 each	\$ 0.00
Independent	5	-3	2	\$80.00 each	\$ 160.00
Basic Fee					\$ 710.00
Multiple Dependency Fee If Applicable (\$270.00)					\$ 0.00
Total					\$ 870.00
50% Reduction for Independent Inventor, Nonprofit Organization or Small Business Concern					- \$ 435.00
Total Filing Fee					\$ 435.00

2. ☒ Please charge the required fee to Pennie & Edmonds LLP Deposit Account  
No. 16-1150. A copy of this sheet is enclosed.
3. ☐ Amend the specification by inserting before the first line the following  
sentence:

- 4a. ☐ New formal drawings are enclosed.
- 4b. ☐ Informal drawings are enclosed.
- 5a. ☒ Priority of application no. 60/058,052 filed on September 6, 1997 is claimed under 35 U.S.C. §119.
- 5b. ☐ The certified copy has been filed in prior application no. , filed .
6. ☒ The prior application is assigned of record to CNS Response, Inc.
- 7a. ☒ A copy of the Power of Attorney filed in the prior application no. 09/148,591, filed September 4, 1998, is enclosed.
- 7b. ☒ A Power of Attorney is enclosed.
8. ☐ This application contains nucleic acid and/or amino acid sequences required to be disclosed in a Sequence Listing under 37 CFR §§1.821-1.825. It is requested that the Sequence Listing in computer readable form from prior application no., filed on be made a part of the present application as provided for by 37 C.F.R. §1.821(e). The sequences disclosed therein are the same as the sequences disclosed in this application. A copy of the paper Sequence Listing from application no. is enclosed.
9. ☐ The undersigned states, under 37 C.F.R. §1.821(f), that the content of the enclosed paper Sequence Listing from application no. is the same as the content of the computer readable form submitted in application no. .
10. ☒ Additional enclosures or instructions.  
 - Specification 8 Pages; Claims 11; Abstract 1 Page;  
 informal drawings     Sheets;  
 - Preliminary Amendment;  
 - Copy of Notice of Recordation and Assignment;  
 - Petition For Extension of Time (5 months); and  
 - Postcard.

Respectfully submitted,

Date August 15, 2001



Dwight H. Renfrew, Jr.

38,594

Reg. No.

For:

Laura A. Coruzzi (Reg. No. 30,742)  
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